



Substitute for Form 1449/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>		
<div style="border: 1px solid black; border-radius: 50%; width: 100px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">             OCT 23 2003           </div>				Application Number	10/603,379	
				Filing Date	June 24, 2003	
				First Named Inventor:	Nicolaescu et al.	
				Art Unit	2835	
				Examiner Name	Unknown	
Sheet	1	of	1	Attorney Docket Number	42P14248X	
<b>U.S. PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)			
	1	US-	5,908,305	06/01/1999	Crampton et al.	
	2	US-	5,159,699	10/27/1992	de Monts	
	3	US-	5,125,065	06/23/1992	Stoll et al.	
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<b>FOREIGN PATENT DOCUMENTS</b>								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	4	WO	00/72064 A1		11/30/2000	NANOVATION TECHNOLOGIES, INC.		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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Substitute for Form 1449/PTO <h2 style="margin: 0;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="font-size: small; margin: 0;">(use as many sheets as necessary)</p>					<b>Complete if Known</b>	
					Application Number	10/603,379
					Filing Date	June 24, 2003
					First Named Inventor:	Remus Nicolaescu et al.
					Art Unit	Not Yet Assigned
					Examiner Name	Not Yet Assigned
					Attorney Docket Number	42P14248X
Sheet	1	of			2	

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Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number-Kind Code <sup>2</sup> (if known)			
	1	US-	4,787,691	11/29/1988	Lorenzo et al.	
	2.	US-	6,144,779	11/07/2000	Binkley et al.	
	3.	US-	6,253,000	06/26/2001	Madsen et al.	
	4.	US-	6,292,597 B1	09/18/2001	Lagali et al.	
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		Examiner Name	Not Yet Assigned
		Attorney Docket Number	42P14248X
Sheet	2 of 2		
<b>NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	NO	Indicate name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
NO	5.	Soref, R.A., et al., "Vertically Integrated Silicon-on-Insulator Waveguides," IEEE Photonics Technology Letters, Vol. 3, No.1, January 1991, pp. 22-24	
NO	6.	Bachmann, M., et al., "General Self-Imaging Properties In NxN Multimode Interference Couplers Including Phase Relations," Applied Optics, Vol. 33, No. 18, June 20, 1994, pp. 3905-3911	
NO	7.	Soldano, L.B., et al., "Optical Multi-Mode Interference Devices Based on Self-Imaging: Principles and Applications," Journal of Lightwave Technology, Vol. 13, No. 4, April 1995, pp. 615-627	
NO	8.	Rasmussen, T., et al, "Design and Performance Evaluation of 1-by-64 Multimode Interference Power Splitter for Optical Communications," Journal of Lightwave Technology, Vol. 13, No. 10, October 1995, pp. 2069-2074	
NO	9.	Muttukrishnan, R. et al., "Accurate Analysis of MMI Devices with Two-Dimensional Confinement," Journal of Lightwave Technology, Vol. 14, No. 9, September 1996, pp. 2078-2084	
NO	10.	Smit, M.K., et al., "Phasar-Based WDM-Devices: Principles, Design and Applications," IEEE Journal of Selected Topics In Quantum Electronics, Vol. 2, No. 2, June 1996, pp. 236-250	
NO	11.	Karrenahalli, S., et al., "Experimental Confirmation of Phase Relationships of Multimode Interference Splitters Using a Shearing-Type Near-Field Sagnac Interferometer," IEEE Photonics Technology Letters, July 1997, pp. 937-939	
NO	12.	Lorenzo, R.M., et al., "Improved Self-Imaging Characteristics in 1xN Multimode Couplers," IEE Proc.-Optoelectron, Vol. 145, No. 1, February 1998, pp. 65-69	

Examiner Signature		Date Considered	2/21/05
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